

16562 U.S. PTO  
09/05/03

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Attorney Docket P1981R1P1  
PATENT

EV 351 123 545 US: Express Mail Number

September 5, 2003: Date of Deposit

22387 U.S. PTO  
10/656598  
09/05/03

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Mail Stop PATENT APPLICATION  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

**NON-PROVISIONAL APPLICATION TRANSMITTAL UNDER 37 CFR 1.53(b)**

Transmitted herewith for filing is a non-provisional patent application:

Inventor(s) (or Application "Identifier"):

David P. Davis, San Bruno, CA  
Frederic J. DeSavage, Foster City, CA  
William I. Wood, Hillsborough, CA  
Zemin Zhang, Foster City, CA

Title: COMPOSITIONS AND METHODS FOR THE DIAGNOSIS AND TREATMENT OF TUMOR

**1. Type of Application**

- [ ] This application is for an original, non-provisional application.
- [ ] This is a non-provisional application claiming priority to provisional application no. \_\_, filed \_\_, the entire disclosure of which is hereby incorporated by reference.
- [ X ] This is a [ X ] continuation-in-part [ ] continuation [ ] divisional application claiming priority to application Serial Number 60/410,166, filed September 11, 2002, the entire disclosure of which is hereby incorporated by reference.

**2. Papers Enclosed Which Are Required For Filing Date Under 37 CFR 1.53(b) (Non-provisional )**

104 pages of specification  
10 pages of claims  
1 page(s) of abstract  
25 sheet(s) of drawings  
[X] formal [ ] informal

**3. Declaration or Oath**

*(for new and CIP applications; also for Cont./Div. where inventor(s) are being added)*  
  X   An executed declaration of the inventor(s) ☐ is enclosed ☒ will follow.

*(for Cont./Div. where inventorship is the same or inventor(s) being deleted)*  
       A copy of the executed declaration/oath filed in the prior application is enclosed (37 CFR 1.63(d)).

*(for Cont./Div. where inventor(s) being deleted)*  
       A signed statement is attached deleting inventor(s) named in the prior application (see 37 CFR 1.63(d)(2) and 1.33(b)).

**4. Assignment**

*(for new and CIP applications)*  
  X   An Assignment of the invention to GENENTECH, INC. ☐ is enclosed with attached Recordation Form Cover Sheet ☒ will follow.

*(for cont./div.)*  
       The prior application is assigned of record to Genentech, Inc.

**5. Amendments            (for continuation and divisional applications)**

       Cancel in this application original claims \_\_ of the prior application before calculating the filing fee. (At least one original independent claim must be retained for filing purposes.)

       A preliminary amendment is enclosed. (Claims added by this amendment have been properly numbered consecutively beginning with the number next following the highest numbered original claim in the prior application.)

**6. Fee Calculation (37 CFR 1.16)**

The fee has been calculated as follows:

CLAIMS FOR FEE CALCULATION					
Number Filed		Number Extra		Rate	Basic Fee 37 CFR 1.16(a)
					\$750.00
Total Claims	102	- 20 =	82	X \$18.00	\$1,476.00
Independent Claims	15	- 3 =	12	X \$84.00	\$1,008.00
Multiple dependent claim(s), if any				+ \$280.00	\$0.00
Filing Fee Calculation					\$3,234.00

**7. Method of Payment of Fees**

The Commissioner is hereby authorized to charge Deposit Account No. 07-0630 in the amount of \$3,234.00. **A duplicate copy of this transmittal is enclosed.**

**8. Authorization to Charge Additional Fees**

The Commissioner is hereby authorized to charge any additional fees required under 37 CFR §1.16 and 1.17, or credit overpayment to Deposit Account No. 07-0630. **A duplicate copy of this transmittal is enclosed.**

**9. Additional Papers Enclosed**

- ☐ Information Disclosure Statement (37 CFR §1.98) w/ PTO-1449 and citations
- ☐ Submission of "Sequence Listing", computer readable copy, certificate re: sequence listing, and/or amendment pertaining thereto for biological invention containing nucleotide and/or amino acid sequence.
- ☐ A new Power of Attorney or authorization of agent.
- ☒ Other: Application Data Sheet and Postcard.

**10. Maintenance of Copendency of Prior Application (for continuation and divisional applications)**

*[This item **must** be completed and the necessary papers filed in the prior application if the period set in the prior application has run]*

- \_\_\_\_\_ A petition, fee and/or response has been filed to extend the term in the pending prior application until
- \_\_\_\_\_ A copy of the petition for extension of time in the **prior** application is attached.

**11. Correspondence Address:**

X Address all future communications to:

Attn: David A. Carpenter, Ph.D.  
Customer No: 09157

Respectfully submitted,  
GENENTECH, INC

Date: September 5, 2003

By: 

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